

UNITED STATES
OFFICE OF PERSONNEL MANAGEMENT
INVESTIGATIONS SERVICE
P.O. BOX 886
WASHINGTON, DC 20044

DEFENDANT'S
EXHIBIT

AGENCY INFORMATION FOR OPM BACKGROUND INVESTIGATIONS
(FOR USE WITH THE AUTOMATED CASE CLOSING TRANSMITTAL)

Report Format - Reports of investigation are prepared using a source-by-source format under a single heading, "TESTIMONIES." The presence or absence of issues, discrepancies, special factors, or matters in need of explanation, determines the extent of each testimony. A testimony in a report can range from a briefly reported association/recommendation to fully described information. Reports of investigation are organized around item numbers assigned at the time of scheduling. Items are grouped generally by coverage matter in reverse chronological order. All sources covering an item have the same item number. Developed items or situations requiring special reporting follow originally scheduled items.

Source Identification - Each source is fully identified by name, position title, and address where the interview took place.

Testimony - Information from a source contacted to cover an item becomes a testimony attributed to that source in the report. The first line of any testimony, whether personal or record, will show either "Acceptable" or "Issue(s)."

Issue Codes - A numerical code identifying the general nature of an issue raised in the investigation:

- | | |
|------------------------------|---------------------------|
| 1 - Intoxicants | 8 - Firearms/Weapons |
| 2 - Drug use | 9 - Miscellaneous |
| 3 - Financial responsibility | 10 - Statutory debarment |
| 4 - Moral conduct | 11 - Loyalty and security |
| 5 - Honesty | 12 - Qualifications |
| 6 - Violent behavior | 13 - Associates |
| 7 - Employment | 14 - Relatives |

Issue Seriousness - An alpha code identifying the seriousness of an issue raised in the investigation. With respect for suitability for any position:

- "A" issues are minor and the conduct or issue, standing alone, would not be disqualifying.
- "B" issues are moderate and the conduct or issue, standing alone, would probably not be disqualifying.
- "C" issues are substantial and the conduct or issue, standing alone, may probably be disqualifying.
- "D" issues are major and the conduct or issue, standing alone, would be disqualifying.
- "E" issues are other matters, such as qualifications, medical issues, or inconclusive results, that may affect your determination.

OFI Form 79A - Report of Agency Adjudicative Action on OPM Personnel Investigations accompanies the Case Closing Transmittal (CCT) in certain sensitive and non-sensitive cases that are Closed-Complete. The OPM adjudication section of the CCT will indicate when the form is attached. The form contains OPM's Basic Suitability Adjudication Determinations for the case.

The level of seriousness of any issues in the case is shown on the form, and the agency is given appropriate instructions to follow depending on the seriousness of those issues. It is the agency's responsibility to return the OFI Form 79A to OPM-FIPC when the agency has completed its final adjudicative action.

Certification of Investigation - This notice certifies that a background investigation on the person identified has been completed. The results of the investigation will be sent to the security office for a security/suitability determination. Agency certifies the results of the investigation have been reviewed, and a final determination was made. This notice should be filed on the permanent side of the person's official personnel folder after the final agency determination is made.

Case Closing Transmittal (CCT) - The results of investigations conducted by OPM are transmitted to the requesting agency with a Case Closing Transmittal (CCT). Each CCT contains the OPM case number; type/service of the case and extra coverage; subject's name, social security number, and date of birth; position; the agency's Submitting Office Number (SON) and Security Office Identifier (SOI); the agency's accounting and/or case number, if any; information about attachments; OPM adjudication information; and the applicable closing notice. The CCT also contains an "Item Information" section which lists every item scheduled for coverage and developed during the investigation. Each item (ITM) has a unique number and includes: a description of its type (e.g., NAC search, employment, residence); the name, location and other identifying information concerning the item; the coverage method (CM); and the investigation results.

The CCT may also contain one or more Case Closing Comments, used to convey information about the item status or results and identify the reason a particular case does not meet OPM standards.

Item Numbers - NAC items are always identified by a letter followed by two numbers. Coverage items are identified by numbers only. When the personal interview is scheduled, it is typically identified as Item 001. Subsequent numbered items represent activities (e.g., residence, education, employment, law enforcement) scheduled for investigation.

Coverage Items

- PRSI = Personal Interview
- SUBS = Substance Involvement (alcohol/drugs)
- RESI = Residence
- EDUC = Education
- MEDI = Medical (mental/physical health)
- EMPL = Employment
- REFE = Reference
- FINL = Financial (bankruptcy/bad debts)
- LAWF = Law Enforcement
- GENL = General (miscellaneous)

Item Types - NAC

- A SII = Security/Suitability Investigations Index
 - SSII = Spouse SII
 - SIIF = SII File
 - SSIF = Spouse SII File
- B FBIF = FBI FP Classification
 - FBFN = FBI Fingerprint Name
 - SFPN = Spouse FBI Fingerprint Name
- C FBIN = FBI Name
 - SFBN = Spouse FBI Name
 - FBNF = FBI Name File
 - SFNF = Spouse FBI Name File
- D DCII = Defense Clearance and Investigations Index
 - SDCI = Spouse DCII
 - DCIF = DCII File
 - SDCF = Spouse DCII File
- E CRED = Credit
- F SESE = Selective Service
- G MILR = Military Record
- H OPF = Official Personnel Folder

ITEM TYPES cont.

I INS = Immigration and Naturalization Service
SINS = Spouse INS
INSF = INS File
SINF = Spouse INS File
J INVA = Investigative Agency
K SECF = Security File
L CIAS = CIA Security Office
SCIS = Spouse CIA Security Office
N BVS = Bureau of Vital Statistics (birth or death)
O OUTS = Outside USA (coverage of foreign activity by another agency)
P NATG = National Guard
Q CGIN = Coast Guard Intelligence
R PUBH = Public Health
S STPA = State Department Passport
U PERI = Periodicals
V LICE = Licenses
WTSC = State Department Security
X NCIC = National Crime Information Center

Coverage Method (CM)

P (Personal) Item was scheduled for coverage by an investigator from personal source(s).
R (Record) Item was scheduled for coverage by an investigator from record(s).
I (Inquiry) Item was scheduled for coverage by an inquiry form mailed to a source.
T (Telephone) Item was scheduled for coverage by telephone after initial attempt by inquiry was unsuccessful.
L (Linkage) Item was scheduled for coverage by automated link with a NAC source.
C (Correspondence) Item was scheduled for coverage by letter(s).

Results - The results show the outcome of the investigation for each item. Results of items are reported as follows:

Acceptable	All information provided about an item is free of any issues or discrepancies which may be construed as an issue.
Accept-Attach	The inquiry or record is acceptable, but is attached since it may contain additional pertinent information.
Accept-Conf	The inquiry is acceptable, but the source completing it requested confidentiality.
Discrepancy	Record information is discrepant from that furnished by the subject but does not constitute an issue or significant matter.
Fee Required	Information cannot be obtained without paying a fee. Cost of case does not provide for fee payment by OPM.
Issues(s)	An issue, or discrepancy which may indicate an issue, has been raised either directly or indirectly by a source or sources covering an item.
Issue(s)-Conf	The inquiry has issue(s), and the source completing it requested confidentiality.
No Pertinent	The record contains no pertinent information.
No Record	The search was negative.
Not Available	Information is not available for review.
Not Completed	The item is controlled by another agency, and OPM follow-up has not been successful. Results will be transmitted when/if they are received.
Not Contacted	Coverage was not obtained because the source could not be contacted.
Not Located	Coverage was not obtained because the source could not be located.
Prev Furnished	The file was previously furnished to your agency. If it is no longer available for review, but deemed necessary, contact OPM-FIPC for a copy.
Subj-Unknown	Inquiry source has no knowledge of the subject.
Not Received	Coverage of the item was scheduled by inquiry; however, it has not been returned.
Record	A record exists, and is either attached or referred.
Referred	Coverage of the item is contained elsewhere.
Release-Req	Inquiry coverage could not be obtained without a specific release.

Unclassifiable Unclassifiable fingerprint charts returned by the FBI.
Undeliverable The address of the source was incorrect or insufficient and the inquiry is undeliverable.

Custody of Investigative Reports and Cases - The attached investigative material is the property of the Office of Personnel Management and may be recalled by OPM at any time. Its transfer to another agency is not permitted without prior approval of OPM. Release of this material to the subject of the investigation may be made only by OPM or with OPM approval, and any request for release of it should be immediately referred to OPM. While this material is retained by your agency, it must be safeguarded in a manner that will prohibit its unauthorized disclosure. Review will be limited to those persons whose official duties require it and who have been subjected to a favorable determination based on a background investigation.

Due Process Procedures - A person should have, whenever appropriate, an opportunity to explain or refute unfavorable information developed in an investigation before an adverse adjudication is made.

Use of Investigative Information - The information developed in the attached investigation may be discussed with the subject of investigation. However, the identifiers of the investigating agencies, the investigators, any Protected Source or Confidential Inquiry Source must not be disclosed, and the information must not be discussed in a manner that would disclose their identities. Questions about the use of protected source information should be directed to FIPC's Freedom of Information and Privacy Act Section (FOI/P) at 412-794-5612.

Written requests to have protected sources recontacted to determine their willingness to become open sources may be made.

- If the source was developed in a NACI case, the request should be forwarded to FIPC's Suitability Adjudication Branch (SAB).
- If the source was developed in a Background Investigation (BI), the request should be forwarded to FIPC's Background Processing Branch (BPB).

All sources identified in the reports of investigations conducted prior to September 27, 1975, are to be considered Protected Sources, except when the source is a public record or a Federal personnel record available to the subject on request. An agency is not prohibited from disclosing any sources of information obtained independently by the agency, such as through an interview of the subject or contact with other sources. Information from law enforcement records may be used, providing the arresting officer or witnesses are not specifically named as the source(s).

Agency Guidelines - Agencies should follow the guidelines in Title 5, Code of Federal Regulations, Parts 731, 732 and 736.

IF YOU NEED FURTHER EXPLANATION OF THE ABOVE INFORMATION, YOU MAY CALL AN OPM-FIPC LIAISON ASSISTANT AT COMMERCIAL 724 794-5228.

Office of Personnel Management
 Federal Investigations Processing Center
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